

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**

**DIVISION OF GRANTS MANAGEMENT**

**HARTFORD**

**APPLICATION PACKAGE FOR THE**

**GENERAL IMPROVEMENTS TO SCHOOL BUILDINGS PROGRAM**

**FOR PRIORITY SCHOOL DISTRICTS**

**May 2002**

**APPLICATIONS DUE: September 17, 2002**

# CONNECTICUT STATE DEPARTMENT OF EDUCATION

Theodore S. Sergi  
Commissioner of Education

It is the policy of the Connecticut State Board of Education that no person shall be excluded from participation in, denied the benefits of, or otherwise discriminated against under any program, including employment, because of race, color, religious creed, sex, age, national origin, ancestry, marital status, sexual orientation, mental retardation or past/present history of mental disorder, learning disability or physical disability.

### Program Description:

1998-99 was the first year of a five-year commitment to provide new funds to Connecticut's Priority School Districts to improve the condition of the schools in greatest need of improvements **that are not generally eligible for funding or previously authorized under a school building project pursuant to Chapter 173 of the Connecticut General Statutes**. Questions about a project's eligibility under Chapter 173, should be directed to David Wedge of the School Facilities Unit, at (860) 713-6480 or email to [david.wedge@po.state.ct.us](mailto:david.wedge@po.state.ct.us).

### Examples of Eligible Projects:

A copy of C.G.S. Section 10-265h is included in this package. These dollars are targeted for the types of repair and replacement work and other general improvements not covered by the existing school construction grants program. Examples of the types of improvements that qualify include:

- 1) replacement of windows and doors
- 2) replacement of boilers and other heating and ventilation components
- 3) replacement of internal communication systems
- 4) locker replacements
- 5) ceiling and floor covering upgrades/replacements
- 6) upgrading restrooms, including new fixtures and water fountains
- 7) upgrade or replacement of lighting fixtures
- 8) replacing or installing security systems, including but not limited to video surveillance devices and fencing
- 9) other work of a similar nature approved by the **Commissioner of Education**.

### Examples of Ineligible Uses of Funds:

- 1) routine building maintenance and maintenance supplies
- 2) painting
- 3) cleaning
- 4) equipment repairs and other minor repairs
- 5) salaries of in-house maintenance staff and other school staff.

Note: Direct labor charges for overtime, or newly hired staff, to work exclusively on specific eligible projects with the **prior approval of the Department may be permitted**. Questions about a project's eligibility under Chapter 173, should be directed to David Wedge of the School Facilities Unit, at (860) 713-6480 or e-mail to [david.wedge@po.state.ct.us](mailto:david.wedge@po.state.ct.us).

### Eligible Applicants and FY2003 Allocations:

Bloomfield	85,549	New Britain	753,043
Bridgeport	1,954,688	New Haven	1,666,501
Bristol	379,944	New London	286,609
Danbury	554,165	Norwalk	700,276
East Hartford	393,740	Putnam	45,637
Hartford	2,111,739	Stamford	905,836
Meriden	561,758	Waterbury	1,674,157
Middletown	342,378	West Haven	464,093
		Windham	219,887

**Management control of the program and grant consultation role of State Department of Education (SDE) personnel:**

The grantee has complete management control of this grant. While SDE staff may be consulted for their expertise, they will not be directly responsible for the selection of subgrantees or vendors, nor will they be directly involved in the expenditure and payment of funds.

**Deadline for Applications:**

There is no statutory deadline for applications. For administrative purposes, we are requesting that all applications be filed not later than September 17, 2002. Facsimile ("Faxed") copies of applications will not be accepted. Only applications with the original signatures will be accepted as timely filed. Preference in approving applications and awarding grants will be given to those applicants that submit complete application packages on time. A complete application consists of a) one signed copy of the Program Proposal and Action Plan; b) one signed copy of ED051 Form A; c) one copy of ED051 Form B for **each type of project** being done; and d) one copy of the ED114.

The mailing address is: Connecticut State Department of Education  
Division of Grants Management  
P. O. Box 2219  
Hartford, CT 06145-2219

The delivery address is: State Office Building  
165 Capitol Avenue, Room 325  
Hartford, CT

Questions regarding the application process should be directed to Joyce Chasse or Annette McCall, Process and Quality Control Unit in the Division of Grants Management, at (860) 713-6471 or e-mail to [joyce.chasse@po.state.ct.us](mailto:joyce.chasse@po.state.ct.us) or [annette.mccall@po.state.ct.us](mailto:annette.mccall@po.state.ct.us).

Applicants should resist asking for approval of projects expressly denied in the statutory language. Questions about the eligibility of a project not clearly excluded should be referred to Joyce Chasse. When a clear determination cannot be made quickly, you will be instructed to include the project in your application rather than delay submitting the entire application package.

Once a formal determination is made, your application can be amended as necessary. We recommend that in applying for one or more projects with questionable eligibility, you also submit alternate work that is clearly eligible. In the event your first choice is deemed unacceptable, you will already have an approved alternate in place. Be sure that any projects intended as alternates are clearly labeled as such.

**Review and Approval:**

The State Department of Education expects that complete applications received by September 17, 2002 will be reviewed, negotiated and accepted, with modifications if necessary, in time for grant awards to be completed by October 1, 2002, contingent upon Bond Commission authorization of the funding.

## CONNECTICUT GENERAL STATUTES

### SECTION 10-265h

#### **Grants for Priority School Districts for General Improvements to School Buildings**

(a) The Commissioner of Education shall establish, within available bond authorizations, a grant program to assist priority school districts in paying for general improvements to school buildings. For purposes of this section "general improvements to school buildings" means work that (1) is generally not eligible for reimbursement pursuant to chapter 173, and (2) is to (A) replace windows, doors, boilers and other heating and ventilation system components, internal communications systems, lockers, and ceilings including the installation of new drop ceilings, (B) upgrade restrooms including the replacement of fixtures, (C) upgrade and replace lighting, or (D) install security equipment including but not limited to, video surveillance devices and fencing, provided "general improvements to school buildings" may include work not specified in this subdivision if the school district provides justification for such work acceptable to the Commissioner of Education, but shall not include routine maintenance such as painting, cleaning, equipment repair or other minor repairs or work done at the administrative facilities of a board of education.

(b) Eligibility for grants pursuant to this section shall be determined for a five-year period based on a school district's designation in the initial year of application as a priority school district. Grant awards shall be made annually contingent upon the filing of an application and a satisfactory annual evaluation. School districts shall apply for grants pursuant to this section at such time and in such manner as the commissioner prescribes.

\* (c) Priority school districts shall receive grants based on the formula established in subdivision (1) of subsection (e) of section 10-265f. No funds received by a school district pursuant to this section shall be used to supplant federal, state or local funding received by such town for improvements to school buildings.

(d) Expenditure reports shall be filed with the Department of Education as requested by the commissioner. School districts shall refund (1) any unexpended amounts at the close of the project for which the grants are awarded and (2) any amounts not expended in accordance with the approved grant application.

(e) General improvements for which grants are awarded in any year shall be completed by the end of the succeeding fiscal year.



#### **\* Explanation for Subsection (c) - Supplanting.**

Public Acts 98-168 and 98-243 establish new grant programs and contain language which require school districts to use the new funding to expand existing programs or create new ones, and prohibits them from using these new funds to supplant existing federal, state or local funding. This prohibition is common to many federal grant programs, but until recently, has not been used in state legislation.

**\* Explanation for Subsection (c) - Supplanting. (continued)**

The purpose of the new language is clearly to increase total expenditures in the areas which are the subject of the new legislation. Local boards of education may not replace other federal, state or local funds already authorized for these programs. These funds are intended to be used in addition to and not instead of other funds that otherwise would have been provided.

These new funds may not be used to pay the salaries and benefits of school district staff already working in such programs, nor may they be used to reduce authorized line items for the objects of the new grant programs.

A shift of funding source from existing funds to new grant funds in one year to the next would create a presumption of a supplanting violation. However, we recognize that in certain cases, this presumption could be rebutted by a school district by demonstrating that, in the absence of the new funding, the expenditure would not have been authorized in the subsequent year. For example, we recognize that expenditures for items such as library books and capital repairs may fluctuate from one year to the next due to special projects or cyclical availability of local or other funds. In looking at supplanting in these areas, we need to look at expenditures for the most recent three- to five-year period. If expenditures have been consistent, and then stop with the arrival of new funding, the presumption has not been rebutted. A particular year's expenditure may drop below the average amount of local funding over a three- to five-year average, but not violate the supplanting rule if expenditures indicate a consistent maintenance of effort.

**CONNECTICUT STATE DEPARTMENT OF EDUCATION**  
**Division of Grants Management**  
**P. O. Box 2219**  
**Hartford, Connecticut 06145-2219**

**General Improvements to School Buildings**  
**Program Proposal and Action Plan**  
**2002-2003**

Town/District Name	Town Code	Completed by	Phone	Date

As the Superintendent of Schools, I do hereby certify and assure the following:

1. The application and action plan have been approved by the local board of education at its meeting of \_\_\_\_\_.
2. If funded, there will not be a decrease in the local share of financial support for schools.
3. The action plan is coordinated with other on-going operations and improvement strategies in the school district.
4. Agrees, if funded:
  - a. to a final evaluation of the program with the Commissioner of Education at such time as requested by the Commissioner;
  - b. to file a year-end financial statement annually on or before September 1;
  - c. to file an independent audit, paid for by local funds, on or before December 31, 2003, and each December 31 thereafter contingent upon continued receipt of grant funds each year;
  - d. to expend the grant funds on activities in the approved proposal and action plan and according to the approved budget and, if necessary, to request amendments prior to any program or budget changes;
  - e. to use appropriate fiscal control and accounting procedures to ensure proper disbursement of all awards; and
  - f. to operate the program in compliance with all applicable state and federal laws and with the regulations, other policies and administrative directives of the Connecticut State Board of Education.
5. Agrees and warrants that in the performance of this proposal, it will not discriminate against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, sexual orientation, sex, mental retardation\*, or physical disability, including, but not limited to, blindness, unless it is shown by such applicant that such disability prevents performance of work involved in any manner and further agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission concerning the employment practices and procedures of the applicant as related to the provisions of this section. (Connecticut General Statutes Sections 4a-60 and 4a-60a, \*including mental disability: Article first, State Constitution)

Superintendent's Name (print or type)	Superintendent's Signature	Date Signed
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Note: The Connecticut State Department of Education reserves the right to use and/or publish any part or parts of any summary, abstract, reports, publications, records and materials resulting from this project and this grant.

CONNECTICUT STATE DEPARTMENT OF EDUCATION  
Division of Grants Management  
P. O. Box 2219  
Hartford, Connecticut 06145-2219

School District: \_\_\_\_\_

Address: \_\_\_\_\_

Superintendent of Schools: \_\_\_\_\_  
Name Telephone

Program Manager(s): \_\_\_\_\_  
Name Telephone

\_\_\_\_\_  
Name Telephone

**Certification that a current Affirmative Action packet is on file**

I the undersigned authorized official, hereby certify that the applying organization/agency has a current affirmative action packet on file with the Connecticut State Department of Education. The affirmative action packet is, by reference, part of this application.

\_\_\_\_\_  
Signature of Authorized Official Date

\_\_\_\_\_  
Name and Title

**Certification that a current Standard Statement of Assurances Grant Program is on file**

I the undersigned authorized official, hereby certify that the applying organization/agency has a current Standard Statement of Assurances Grant Program on file with the Connecticut State Department of Education. The Standard Statement of Assurances Grant Program is, by reference, part of this application/RFP.

\_\_\_\_\_  
Signature of Authorized Official Date

\_\_\_\_\_  
Name and Title



[illegible]

Cost Estimates:	Professional Fees and Services:	_____
	Materials and Labor:	_____
	Special Equipment:	_____
	Contingency (Up to 10%)	_____
	Total:	_____

Schools in Project: If all schools, check here: ☐ Otherwise list individual schools below.

[illegible]

GRANTEE NAME:		TOWN CODE:
GRANT TITLE: GENERAL IMPROVEMENTS TO SCHOOL BUILDINGS PROJECT TITLE: ACCOUNTING CLASSIFICATION:      FUND:      SPID:      ACTIVITY:		
GRANT PERIOD: 07/01/2002 - 06/30/2004      AUTHORIZED AMOUNT:\$		
CODES	DESCRIPTIONS	BUDGET AMOUNT
100	PERSONAL SERVICES - SALARIES	
200	PERSONAL SERVICES - EMPLOYEE BENEFITS	
300	PURCHASED PROF/TECH SERVICES	
450	CONSTRUCTION SERVICES	
500	OTHER PURCHASED SERVICES	
600	SUPPLIES	
730	EQUIPMENT	
840	CONTINGENCY	
	TOTAL	

\_\_\_\_ ORIGINAL REQUEST DATE

\_\_\_\_ REVISED REQUEST DATE

\_\_\_\_ STATE DEPARTMENT OF EDUCATION  
PROGRAM MANAGER AUTHORIZATION

\_\_\_\_ DATE OF  
APPROVAL

\* Complete one consolidated budget for all projects. Do not submit a separate ED114 for each project.

(ED114)  
BUDGET INSTRUCTIONS AND GUIDELINES

<b>ITEM</b>	<b>REQUIREMENTS</b>
100	<p><b>Personal Services - Salaries</b></p> <p>Do not include any salaries other than direct labor to be performed by employees of the Board of Education with the following limitations:</p> <ol style="list-style-type: none"><li>1. You may not charge any portion of the current salaries of board or town personnel to the grant.</li><li>2. If overtime is used for direct labor on one or more projects, the cost of such overtime may be reported here.</li><li>3. If new staff are hired to perform the work to be done, the salaries of such new staff may be included here.</li></ol>
200	<p><b>Personal Services - Benefits</b></p> <p>The cost of benefits for any new staff included under object 100 may be reported here. Any additional benefit costs incurred as a result of overtime salaries included under object 100 may be reported here. No other employee benefits may be included.</p>
300	<p><b>Purchased Professional/Technical Services</b></p> <p>Costs for architectural, engineering or other purchased professional services required for those projects may be included here.</p>
450	<p><b>Construction Services</b></p> <p>Costs for general contractors and other purchased labor for, constructing, renovating or remodeling work should be included under this object.</p>
500	<p><b>Other Purchased Services</b></p> <p>Other purchased services not reportable under objects 300 or 400 may be included here, for example, advertising costs.</p>
600	<p><b>Supplies (and Materials)</b></p> <p>Include the cost of any supplies or building materials to be purchased directly by the grantee under this object. (If a general contractor is being used, report the entire contract amount under object 450. Do not try to break out the contractors supplies and materials costs separately in this line).</p>

730

### **Equipment**

Equipment and furnishings under this grant is limited to new equipment needed to be installed or replaced as part of the facility remodeling or improvement. Items such as electrical surveillance equipment, intercoms, boilers and other built-in equipment are permitted furniture, instructional equipment, or maintenance equipment are not permitted.

840

### **Contingency**

An estimated contingency amount to be expended under other allowable objects during the grant period may be included here. This amount may not exceed 10% of your total grant.

Note exception to the agency budget modification policy. Budgeted contingency amounts may be moved to other approved object categories as needed without prior State Department of Education (SDE) authorization. All other transfers between objects must be in accordance with SDE policy (enclosed.)

STANDARD GRANT BUDGET VARIANCES  
(Revised March, 1999)

Applicable to all State and Federal Prepayment Grants Administered  
by the State Department of Education

I. Budget Procedures Applicable to all Grant Budgets

- A. The approved grant total cannot be increased without prior State Department of Education (SDE) approval.
- B. Approval by the appropriate SDE program manager is required before any expenditures in previously unrequested budget lines may be incurred. SDE will act on such a request upon receipt of written justification from the local school district or other grant recipient.
- C. All grant budget line item revisions must be approved by the appropriate SDE program manager by May 1 of the grant year, by February 1 of the second year of a two-year grant, or at least 60 days before the close of a grant that ends prior to June 30.
- D. The use of funds must be in accordance with the specific requirements of each grant program.

II. Grant Budget Line Variance

Line item increases without prior approval by the appropriate SDE program manager will be allowed up to the following amounts:

- A. Any approved budget line item which is \$10,000 or less may be increased by up to \$1,000.**
- B. Any approved budget line item which is greater than \$10,000 may be increased by 10%.**
- C. An expenditure of \$500 or more in an unrequested line item will be treated as an unallowed variance for the entire expenditure amount.**

The budget variance rules cited above are to be applied separately to public, non-public and neglected and delinquent portions of the budget. All unallowed variance amounts must be refunded to the SDE.

III. Grant Budget Line Item Variance (Line Item 940-Indirect Costs)

Line item budget increases without prior approval by the appropriate SDE program manager *will be allowed up to the following amounts.*

- A. Any approved line item 940 may be increased by up to \$200.
- B. Any line item 940 expenditure without a corresponding approved budget amount will be treated as an unallowed variance.

The budget variance rules cited above are to be applied separately to public, non-public and neglected and delinquent portions of the budget. All unallowed variance amounts must be refunded to the SDE.

CONNECTICUT STATE DEPARTMENT OF EDUCATION  
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School District: \_\_\_\_\_ Total FY2002 Authorization: \_\_\_\_\_

Project Status: Complete ☐ In-Process ☐ If not completed, anticipated completion date: \_\_\_\_\_

**Program Evaluation:**

1) Describe program's overall impact on schools:

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2) How did it help your overall maintenance program?

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3) How did you make the most effective use of the funds?

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Superintendent's Name (print or type)

Superintendent's Signature

Date Signed

CONNECTICUT STATE DEPARTMENT OF EDUCATION  
Division of Grants Management  
P. O. Box 2219  
Hartford, Connecticut 06145-2219

School District: \_\_\_\_\_ Total FY2001 Authorization: \_\_\_\_\_

**Program Evaluation:**

1) Describe program's overall impact on schools:

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2) How did it help your overall maintenance program?

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3) How did you make the most effective use of the funds?

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\_\_\_\_\_  
Superintendent's Name (print or type)

\_\_\_\_\_  
Superintendent's Signature

\_\_\_\_\_  
Date Signed